



2164<sup>NY</sup>  
# BT

Docket No. CF/034 5-15-03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Andrew C. Gilbert et al.  
Application No.: 10/047,607 Confirmation No.: 5741  
Filed : January 14, 2002  
For : SYSTEMS AND METHODS FOR ELECTRONIC  
TRADING THAT PERMIT PRINCIPAL/BROKER  
TRADING  
Group Art Unit : 2164  
Examiner : Not Yet Assigned

**RECEIVED**

MAY 02 2003

**GROUP 3600**

Commissioner for Patents New York, NY 10020  
P.O. Box 1450 April 24, 2003  
Alexandria, Virginia 22313-1450

TRANSMITTAL LETTER FOR  
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is an Information  
Disclosure Statement in the above-identified application.  
This Statement is submitted:

- ☐ [ ] within three months of the application filing date;
- ☒ [X] more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Information Disclosure Statement to Deposit Account

No. 06-1075. A duplicate copy of this letter is  
transmitted herewith.

Respectfully submitted,

Denise Bergin  
Denise Bergin  
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I hereby certify that this  
Correspondence is being  
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April 24, 2003

Lillian Garcia

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Signature of Person Signing